

04/13/99

Please type a plus sign (+) inside this box → ☒

PTO/SB/05 (1/98)

Approved for use through 09/30/2000. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. **IAM 467 PA**First Inventor or Application Identifier **Michael G. Hayek**Title **LUTEIN-CONTAINING SUPPLEMENT AND PROCESS FOR ENHANCING IMMUNE RESPONSE IN ANIMALS**Express Mail Label No. **EJ148049005US****APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ \* Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)
2. ☒ Specification [Total Pages **26**]  
(preferred arrangement set forth below)
- Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to Microfiche Appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
3. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets **17**]
4. Oath or Declaration [Total Pages **2**]
- a. ☒ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 C.F.R. § 1.63(d))  
(for continuation/divisional with Box 17 completed)  
(Note Box 5 below)
- i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).
5. ☐ Incorporation By Reference (useable if Box 4b is checked)  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

6. ☐ Microfiche Computer Program (Appendix)
7. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- a. ☐ Computer Readable Copy
- b. ☐ Paper Copy (identical to computer copy)
- c. ☐ Statement verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

8. ☐ Assignment Papers (cover sheet & document(s))
9. ☐ 37 C.F.R. § 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
10. ☐ English Translation Document (if applicable)
11. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
12. ☐ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
14. ☐ \*Small Entity Statement(s) ☐ Statement filed in prior application (PTO/SB/09-12) ☐ Status still proper and desired
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☒ Other: **Check \$916.00 (filing fee)**

\* A new statement is required to be entitled to pay small entity fees, except where one has been filed in a prior application and is being relied upon.

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No:

Prior application information: Examiner \_\_\_\_\_

Group / Art Unit: \_\_\_\_\_

**18. CORRESPONDENCE ADDRESS**☐ Customer Number or Bar Code Labelor ☒ Correspondence address below

(Insert Customer No. or Attach bar code label here)

Name	<b>Susan M. Luna</b>				
	<b>Killworth, Gottman, Hagan &amp; Schaeff, L.L.P</b>				
Address	<b>One Dayton Centre</b>				
	<b>One South Main Street, Suite 500</b>				
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Name (Print/Type)	<b>Susan M. Luna</b>	Registration No. (Attorney/Agent)	<b>38,769</b>
Signature	<i>Susan M. Luna</i>	Date	<b>4/13/99</b>

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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**FEE TRANSMITTAL**

Patent fees are subject to annual revision on October 1.  
These are the fees effective October 1, 1997.  
Small Entity payments must be supported by a small entity statement,  
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.

**TOTAL AMOUNT OF PAYMENT (\$ 916.00)****Complete if Known**

Application Number \_\_\_\_\_  
Filing Date **April 13, 1999**  
First Named Inventor **Michael G. Hayek**  
Examiner Name \_\_\_\_\_  
Group / Art Unit \_\_\_\_\_  
Attorney Docket No. **IAM 467 PA**

**METHOD OF PAYMENT (check one)**

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit  
Account  
Number \_\_\_\_\_  
Deposit  
Account  
Name \_\_\_\_\_

- ☐ Charge Any Additional  
Fee Required Under  
37 CFR 1.16 and 1.17 ☐ Charge the Issue Fee Set in  
37 CFR 1.18 at the Mailing of the  
Notice of Allowance

2. ☒ **Payment Enclosed:**  
☒ Check(s) ☐ Money  
Order ☐ Other

**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 760	201 380	Utility filing fee	<b>760.00</b>
106 310	206 155	Design filing fee	
107 480	207 240	Plant filing fee	
108 760	208 380	Reissue filing fee	
114 150	214 75	Provisional filing fee	
<b>SUBTOTAL (1)</b>			<b>(\$ 760.00)</b>

**2. EXTRA CLAIM FEES**

Total Claims **16** -20\*\* = **0** x **18** = **-0-**  
Independent Claims **5** -3\*\* = **2** x **78** = **156**  
Multiple Dependent \_\_\_\_\_ = \_\_\_\_\_

\*\*or number previously paid, if greater; For Reissues, see below

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
103 18	203 9	Claims in excess of 20	
102 78	202 39	Independent claims in excess of 3	
104 260	204 130	Multiple dependent claim, if not paid	
109 78	209 39	** Reissue independent claims over original patent	
110 18	210 9	** Reissue claims in excess of 20 and over original patent	
<b>SUBTOTAL (2)</b>			<b>(\$ 156.00)</b>

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 380	216 190	Extension for reply within second month	
117 870	217 435	Extension for reply within third month	
118 1,360	218 680	Extension for reply within fourth month	
128 1,850	228 925	Extension for reply within fifth month	
119 300	219 150	Notice of Appeal	
120 300	220 150	Filing a brief in support of an appeal	
121 260	221 130	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,210	241 605	Petition to revive - unintentional	
142 1,210	242 605	Utility issue fee (or reissue)	
143 430	243 215	Design issue fee	
144 580	244 290	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Petitions related to provisional applications	
126 240	126 240	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 760	246 380	Filing a submission after final rejection (37 CFR 1.129(a))	
149 760	249 380	For each additional invention to be examined (37 CFR 1.129(b))	
Other fee (specify) _____			
Other fee (specify) _____			
<b>Reduced by Basic Filing Fee Paid</b>			<b>SUBTOTAL (3) (\$ -0-)</b>

**SUBMITTED BY**

Typed or Printed Name		Complete (if applicable)	
<b>Susan M. Luna</b>		Reg. Number	<b>38,769</b>
Signature	<i>Susan M. Luna</i>	Deposit Account User ID	
Date	<b>4/13/99</b>		

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JCS11 U.S. PTO

09/29/2007



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of

Applicant(s): Michael G. Hayek

Title : LUTEIN-CONTAINING SUPPLEMENT AND PROCESS FOR  
ENHANCING IMMUNE RESPONSE IN ANIMALS

Docket : IAM 467 PA

BOX PATENT APPLICATION

Assistant Commissioner for Patents  
Washington, D.C. 20231

EJ148049005US

Sir:

"Express Mail" Mailing Label Number EJ148049005US

Date of Deposit: April 13, 1999

I hereby certify that this paper or fee is being  
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37 CFR 1.10 on the date indicated above and is  
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Lisa M. Gum